

CUSTOMER NO. 32,986

PATENT APPLICATION

IP Strategy Group, P.C.

P.O. Box 700640

San Jose, CA 95170-0640

ATTORNEY DOCKET NO. FFRT-P003

IN THE U.S. PATENT AND TRADEMARK OFFICE			
Applicant:	LAURENT et al.	File:	03/25/2004
Application No.:	10/810,061	Confirmation No.:	7853
Title:	COMPUTER-IMPLEMENTED TRADING IN FREIGHT DERIVATIVES AND TECHNIQUES THEREFOR		

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§ 1.56 AND 1.97(c)

Dear Sir:

This Information Disclosure Statement is submitted:

☐ under 37 CFR 1.97(b)

(Within three months of the filing date of a national application; or date of entry of the national stage; or before the mailing of a first office action on the merits; or before the mailing of a first Office action after the filing of a RCE; whichever occurs last).
(No fee and no 37 CFR 1.97(e)(1) statement needed)

☒ under 37 CFR 1.97(c), together with either a:☐ Statement under 37 CFR 1.97(e)(1), or☒ Fee under 37 CFR 1.17(p)

(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

(Either fee or 37 CFR 1.97(e)(1) statement needed)

☐ under 37 CFR 1.97(d), together with both a:

Statement under 37 CFR 1.97(e)(1), and

Fee under 37 CFR 1.17(p).

(Filed after final action, a notice of allowance, on or before payment of the issue fee)

(Both fee and 37 CFR 1.97(e)(1) statement needed)

The references listed in the attached PTO Form 1449 may be material to patentability of the above-identified patent application. Copies of the references, excluding copies of U.S. patent and U.S. patent application publication as allowed by the United States Patent and Trademark Office OG Notices: 05 August 2003, are attached. Applicants submit these references in compliance with their duty of disclosure pursuant to 37 CFR §§ 1.56 and 1.97. This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that these references indeed constitute prior art. The Examiner is requested to make these references of official record in this application.

☐ The above-identified application is a _____ of prior application U.S. Patent Application No. _____. This prior application is being relied upon for an earlier filing date under 35 U.S.C. § 120. Because the listed references were either cited by the PTO, or submitted to the PTO in the prior application, under 37 CFR § 1.98(d) Applicants submit that copies need not be provided.

☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

☐ A concise explanation in English of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or

☐ Where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

At any time during the pendency of this application, please charge any fees required or credit any over payment to Deposit Account 50-2284 (Order No. FFRT-P003) pursuant to 37 CFR 1.25. Additionally, please charge any fees to Deposit Account 50-2284 (Order No. FFRT-P003) under 37 CFR 1.16 through 1.21 inclusive, and any other sections in Title 37 of the Code of Federal Regulations that may regulate fees.

Respectfully Submitted,

By /Joseph A. Nguyen/

Joseph A. Nguyen, Reg. No. 37,899

Date: 05/20/2009

Telephone No.: 408-213-9540